

 <p><b>KENTUCKY CORRECTIONS</b> Policies and Procedures</p>	Policy Number	Total Pages
	Date Filed	Effective Date
Authority/References	Subject	
KRS 196.030, 439.600, 439.630 P & P ACA 2A-07, 3D-08, 3D-09, 3D-31, 3D-32, 3D-33, 3D-35, 3D-36, 3D-37	<p style="text-align: center;"><b>DATA COLLECTION AND INTERNAL RESEARCH</b></p>	

## I. DEFINITIONS

“Information and Technology Branch” means the Department of Corrections Information and Technology Branch (IT).

“Outside service provider” means any person or entity not directly employed by the Department of Corrections that provides services connected to supervision to an individual under the supervision of the Division of Probation and Parole.

## II. POLICY and PROCEDURE

In accordance with CPP 5.1, the Division of Probation and Parole shall facilitate, maintain and use an organized system of information retrieval and review as part of an overall management, planning, and research capacity. (3D-31)

A. Data shall be collected, recorded, organized, processed, and reported as follows: (3D-32)

1. The Director of Probation and Parole and other appropriate staff shall identify information needs prior to the collection of data for the information management system. These needs shall be formulated in conjunction with:
  - a. The daily operational needs of the division;
  - b. Research relevant to agency programs; (3D-35)
  - c. Specific performance objectives established by the yearly strategic plan and other documents;
  - d. Long-range performance goals established by the biennial budget and strategic plan; and
  - e. Reports to legislative or other executive agencies.

Policy Number	Effective Date	Page
27-04-01	April 23, 2015	2

2. The Director of Probation and Parole shall review and approve all research projects prior to implementation. Except for the data collected by virtue of daily record keeping and operations of the agency, the Director or designee shall review each request for information prior to data being collected. (3D-37)
  - a. The Director and designated staff shall participate with researchers in reviewing research questions, data collection, and data presentation. (3D-36)
  - b. Data collection may be accomplished by using any of the following media:
    - i. An automated offender management system;
    - ii. Written documents such as ledgers, case notes and court records; or
    - iii. Verbal interviews with offenders, employees, or outside service providers.
  - c. Upon approval of the Director of Probation and Parole or designee, the division may use any employee, contractor, consultant, volunteer, or intern to collect data on offenders and programs.
  - d. The Director of Probation and Parole or designee may use IT staff to query databases and other electronic sources for the collection of specific data.
3. The Director of Probation and Parole or designee may direct the organization of all data collected into any form necessary to insure that the data meets the specific informational needs.
4. The Director of Probation and Parole shall designate specific staff to process the collected data. Designated staff shall handle data confidentially and shall make every effort to protect the privacy of individual offenders.
5. Upon completion, all information obtained through this process shall be reported in the specified form to the Director of Probation and Parole or designee. The Director or designee shall review all findings and refer the report back to the designated staff if corrections are needed. The Director of Probation and Parole or designee shall disseminate the approved report in part or in whole to properly authorized personnel. (3D-37)

Policy Number	Effective Date	Page
27-04-01	April 23, 2015	3

- B. The Division of Probation and Parole shall make every effort to protect data under its control. The Director shall approve a plan for the security, privacy, and data protection of the data collection system. (3D-37)
1. Personnel of the central office and all district offices shall protect written materials by:
    - a. Organizing those materials into binders, files, or ledgers;
    - b. Storing materials in file cabinets or shelves; or
    - c. Keeping materials in locked areas when not in use by authorized personnel.
  2. Information and Technology Branch staff shall protect all electronic media by:
    - a. regularly backing up or otherwise copying all databases and electronic files used for informational purposes and data collection to protect them from any form of destruction; and
    - b. maintaining strict password control over all automated systems, electronic files and databases.
- C. In addition to special requests for information, the Director of Probation and Parole shall direct ongoing internal research efforts.
1. Ongoing research efforts may be used to:
    - a. Measure the achievement of specific goals and objectives;
    - b. Guide operational decisions;
    - c. Inform budget and strategy formulations;
    - d. Support scientifically demonstrated supervision programs and strategies to enhance compliance and reduce criminal behavior; or (2A-07)
    - e. Fulfill other informational needs.
  2. The Director of Probation and Parole shall designate a staff member to oversee internal research efforts. This designee shall report on such research at least quarterly to the Director of Probation and Parole. (3D-33)

Policy Number	Effective Date	Page
27-04-01	April 23, 2015	4

- D. The Director of Probation and Parole or designee shall review the information and data collection system at least annually.
1. Achievement of goals and objectives shall be assessed and documented at least annually.
  2. Monitor operations and programs through inspections and reviews. (3D-09)
  3. Program changes are implemented in response to findings as necessary. (3D-08)